

University of South-Eastern Norway (USN)

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: **GAP analysis**

Ethical and Professional Aspects

1. Research freedom		
<p>Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.</p> <p>Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>In general, Norway rank among the countries in the world with the highest levels of personal freedom, including freedom of thought and expression. This also applies to research freedom, which is embedded in the academic culture and well provided for in national legislation.</p> <p>§ 1-1 and § 1-5 in The Act Relating to Universities and University Colleges safeguards research freedom at institutional level and for the individual researcher.</p>	

	<p>Also, the national General guidelines for research ethics of 2014 requires that all research institutions 'assists in ensuring the researchers' freedom in their choice of topic and methodology, implementation of research and publication of results"</p> <p>Furthermore, the national Ethical Guidelines for the Public Service, which applies for USN employees, emphasises the researchers role in contributing to critical debate, expressing expert opinions and 'making their research results known even if they run counter to adopted policies'.</p> <p>At USN the principle of research freedom is addressed in the Personnel Policy Guidelines for USN (which explicitly endorses the Charter & Code principles), the Strategy for Research and Academic Development Work 2017-2021, the Guidelines for the management of research data at University of South-Eastern Norway and the IPR-Policy.</p> <p>Although researchers adhere to relevant ethical principles and some indirect limitations accompanying funding requirements or strategic and budgetary framework may occur, it is considered that researchers at USN fully enjoy the principle of research freedom.</p>	
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2. Ethical principles		
<p>Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Follow up on existing 'Plan for implementation of Framework for Research Ethics' at USN <p>New proposals:</p>

<p>Ensuring high awareness concerning ethical principles and professional standards is continuous work, as is the case with professional responsibility and attitude, and USN will continue ensuring that researchers have good knowledge about these issues through training and information.</p> <p>In addition to European Code of Conduct for Research Integrity , ethical principles in research is in general well provided for in Norwegian national legislation. The Norwegian Research Ethics Act (revised in January 2017) stipulates that all research activities should be conducted in accordance with recognized ethical principles and practice.</p> <p>The Act also provides mandate for Committees on Research Ethics and Integrity at all research institutions, regional and national advisory committees for research ethics within all field of research, as well as The Norwegian National Commission for the Investigation of Research Misconduct. The latter makes final conclusions on decisions reached in local Committees. USN's own Committees on research ethics and integrity (NO) was established in June 2017. The Norwegian Health and Research Act and The Norwegian Biotechnology Act regulates ethics within health research and biotechnology.</p> <p>The USN has established its own Research Committee (NO) at institutional level. The committee advises in matters of research ethics and ensures unified and good research training, including research ethics, at USN.</p> <p>The USN Department for Research and Internationalisation invites all researchers and research managers to annual seminars dedicated to ethics in research. This department, together with USN's ombudsman for data privacy issues and a dedicated Research Data Group, also advises researchers with regards to handling of personal information and data during research activities.</p> <p>Necessary information concerning ethical principles and research practices are available for researchers at the USN intranet, while ethics in general is addressed in the Personnel Policy Guidelines for USN.</p>	<p>1. Develop and implement e-learning introductory program for newly recruited researchers in ethics. The course will also address professional aspect such as strategies, rights & obligations, IPR, rules and regulations, systems for archiving, publication and commercialisation. The e-learning will complement already existing training courses, seminars and online resources on these topics, and quickly give newly recruited researchers an overview of the main aspects concerning research at USN.</p> <p>This proposal thus have positive impact also on issues mentioned under principle 3, 4, 6, 7, 8, 9, 23,31,32 and 34.</p>
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<h3>3. Professional responsibility</h3>

- i. Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.
- ii. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.
- iii. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>Being updated within one's own field of research, in order to push the boundaries of knowledge rather than duplicating existing achievements, is a core feature of the very nature of scientific research and also a foundation prerequisite in order to ensure that research is relevant for society and makes good use of public funds.</p> <p>Avoiding fabrication, falsification and plagiarism through self-regulation is thus part of the individual researcher's ethical responsibility. As emphasized in both the Norwegian General guidelines for research ethics and The European Code of Conduct for Research Integrity, this concern is of vital importance for the larger community's trust in the reliability of scientific research.</p> <p>The Norwegian Research Ethics Act stipulates both the responsibility of the individual researcher to familiarize himself/herself with the relevant ethical guidelines and also instructs the employing institution to provide training and guidance on how to conduct ethically responsible research.</p> <p>National regulations on academic responsibility for researchers:</p> <ul style="list-style-type: none"> - The Universities and University Colleges Act. (EN) Universities have a responsibility to society with respect to dissemination of results of research. - Patent act (NO) regulates intellectual property rights. - The Copyright Act (NO) regulates copyright (text, audio, images), including citation. 	

	<p>- The Health and Research Act, Research Ethics Committees (REC) and Norwegian Centre for Research Data (NSD) regulates approval of research projects</p> <p>USN employment contracts underlines the individual researcher's responsibility to comply with the USN IPR-Policy. This policy is supplemented with practical manual (IPR Handbook) further enabling researchers to understand and comply with IPR regulations.</p> <p>Researchers at USN register their research results in Cristin, a national system that documents and makes research accessible to the public.</p> <p>To enable researchers to comply with these responsibilities, awareness regarding relevant legislation, principles and systems is part of the USN PhD training programs and thematised at annual seminars for all researchers. Awareness raising and dissemination of these topics are ongoing tasks in which the USN aim to continuously increase the quality. The USN University Library has developed an online publishing portal on the intranet making regulations and tools easily available for researchers.</p>	
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4. Professional attitude		
<p>i. Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided.</p> <p>ii. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>National and regional legislation:</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Implement R&D project management IT tool (UBW Project).

- [Regional Committees for Medical and Health Research Ethics \(REK\)](#), shall give preliminary approval to medical and health research projects
- [Norwegian Social Science Data Services \(NSD\)](#), privacy protection solutions that help research to comply with the GDPR

In accordance with [Rules on state-owned universities and university colleges binding cooperation and acquisition of shares](#) (NO), and in order to ensure that research projects are in line with strategic goals and approved by management, the USN has developed its own [Internal guidelines for grant and commission funded activity at the University of South-Eastern Norway](#) (NO). These guidelines stipulates roles and responsibilities in managing research projects and highlights the individual researchers obligation to seek all necessary approvals before starting their research.

All researchers has an individual responsibility to familiarize themselves with the goals of their unit as found in the faculty and institute strategies and plans of action. Keeping line managers and partners informed with respect to the development of the research project is stipulated in project documentation for research projects. The individual researcher's participation in research projects is discussed and planned in annual appraisal-meetings between heads of department and the employee, and reflected in next years plan in the 'Workplan' tool for time- and resources-allocation.

Templates for seeking project approval and guidelines for project management is to be found at the USN intranet.

The Department for Research and Internationalisation provides support and guidance for researchers responsible for projects and ensures that all researchers are well informed concerning relevant deadlines, requirements and approvals.

In addition to documenting research projects in the USN electronic archive system, the USN has recently (June 2019) established research project management system (UBW Project).

5. Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>Working conditions for researchers are well regulated through national legislation. The Norwegian Civil Servants' Act which regulates the employment conditions for employees in the university sector</p> <p>The Act Relating to Norwegian Universities and University Colleges contains rules on academic freedom and the application of scientific and artistic methods and outcomes, both in the teaching of students in their own activities at large and in public administration, cultural life and business.</p> <p>The Personnel Handbook for State Employees contains overview and interpretation of key laws, collective agreements and administrative provisions on appointment, pay- and working conditions, termination of employment and codetermination in state employment conditions. - the Ministry's principle decisions and guidelines drawn up on the basis of practice - templates and guides</p> <p>USN employment contracts include reference to relevant legislation concerning working conditions. All information related to working conditions are available on the intranet through the Compendia portal for employees and in the Personnel Policy Guidelines for USN.</p> <p>Intellectual property rights is addressed through USNs IPR-Policy as described under Principle 31. See Principle 4 on project management regulations.</p>	

6. Accountability

i. Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Measures regarding accountability towards public funders and employers are generally set out in contracts of employment or conditions of the funding agencies, which outlines their reporting and auditing requirements. Private and charitable funders have similar requirements.

ii. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>The national General guidelines for research ethics addresses both the relevance of research for society (preamble, § 12), and the accountability. It requires "sound and appropriate project implementation in terms of data collection, data processing and safekeeping/storage of the material (§3).</p> <p>The Norwegian Research Ethics Act applies to researchers' duty of care to ensure that all research is done in accordance with recognized research ethical norms. This also applies during preparations for research, reporting of research and other research-related activities</p> <p>USN complies with national legislation such as Rules on state-owned universities and university colleges binding cooperation and acquisition of shares (NO) and its's own Internal guidelines for grant and commission funded activity at the University of South-Eastern Norway (NO).</p> <p>Together, these regulations safeguards accountability towards funders and employers through transparent and efficient project management and compliance with reporting and auditing requirements.</p>	

	<p>Research data from USN is published in accordance with USN's Open Access policy through the USN 'Research Data Archive' research data is stored, made visible and accessible (se Principle 31)</p> <p>Hence, the USN relies on national legislation and internal guidelines in the area, supplemented by additions in the contract terms for the individual project which safeguards the efficient use of funds, both public and private.</p>	
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7. Good practice in research		
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Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>In Norway, Health, Safety and Environmental (HSE) issues at the working place is thoroughly regulated by the comprehensive Working Environment Act which quite detailed specifies the standards for working conditions and responsibilities for both employees and the employer. In addition to the HSE system, the USN has Working Environment Committees on both institutional and campus level, Emergency Preparedness Plan and a standing Safety Committee.</p> <p>Confidentiality and data protection is regulated by The Norwegian Personal Data Act and The Norwegian Health and Research Act, Chapter 7 addressing the storage and processing of health data.</p> <p>The USN takes information security and privacy seriously, balancing the need for contingency measures while making research data available. On one hand, all USN researchers are required to archive their</p>	

	<p>research results at the USN Open Archive in line with USN's Open Access Policy. On the other, research data is stored on restricted servers with specific data protection measures and daily back-ups in the USN Open Archive. The individual researcher may apply the necessary licenses and if necessary put access restrictions on the research data. The USN actively cooperates with the Norwegian Centre for Research Data (NSD) and Sensitive Data Services (TSD) Services.</p> <p>USN's ICT regulations was revised in January 2018 and advice on general sound use of IT equipment and data storage. The General Data Protection Regulation (GDPR) was implemented in the whole organisation during 2018.</p>	
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8. Dissemination, exploitation of results		
<p>All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>The goal of research at USN is the production, dissemination and preservation of knowledge. USN makes research results available to the public and private sector as well as the global research community. USN adheres to the principle of knowledge sharing and openness, which means that research results from USN are made available for all national and international actors without unnecessary delay. USN has thus implement a policy of unrestricted access to and reuse of published research results and underlying data-sets.</p> <p>Research data from USN is published in accordance with USN's Open Access Policy. The USN 'Research Data Archive' is the institution's archive where research data is stored, made visible and accessible.</p>	

	<p>At the USN, the Technology Transfer Office (TTO) function is organized within the 'Department for Research and Innovation' in collaboration with regional providers of commercialisation services.</p> <p>The USN also has a publishing fund that covers “gold” open publication costs so that research results from the USN can be spread as far as possible</p>	
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9. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public’s understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public’s concerns.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to further develop the institution’s practice in this area through measures in the Action Plan.</p> <p>As a state-owned institution the USN has a mandate and obligation to enlighten and inform the public through dissemination and participation in the public debate.</p> <p>The USN Strategy for Social Affiliation 2017-2021 describes the institutions ambitions concerning cooperation with regional public and private partners and the USN Communication Strategy describes the means and goals for communication to the public.</p> <p>USN has partnerships with public and private sector for both strengthening the impact of our educational programs, but also to increase value creation in the society through new innovations, products, services and processes. Through the focus on applied and profession oriented research and education, USN priorities to increase the number of projects with external partners that will benefit the public and society.</p>	<p>New proposals:</p> <ol style="list-style-type: none"> 1. Research groups leaders should get training in online publication and be authorised to publicise directly on their respective webpages 2. Training for researchers in research dissemination should be improved more through frequent courses 3. Strengthen USN’s visibility at the research news portal Forskning.no

	<p>The USN University library arranges monthly public lectures. In addition, the public libraries in the counties of Buskerud, Telemark and Vestfold may book guest lectures from USN researchers.</p> <p>USN Communication Department has dedicated employees with professional journalistic experience who assist researchers make scientific and research material more tangible, and disseminate this to various media and on their own websites.</p> <p>The Communication department also arrange courses for researchers in presenting through various media channels as well as assist and advice in popularising results through articles on various platforms.</p> <p>The USN has also established an Expert List of USN researchers, which is a reference book for journalists and others who are looking for people who can give a professional opinion based on their research and / or teaching skills. The expert list is an important contribution to the USN's efforts to fulfil its mandate disseminating research results. Therefore, all scientific staff are encouraged to be included in our very own expert list.</p> <p>Results is also made available for the society at large through for instance Forskning.no and the annual arrangement "Research Days" arrangement at all campuses.</p> <p>However, the research groups at USN has suggested that internal capacity for research dissemination and public engagement is increased and that the researchers themselves are offered more training and are given wider accesses to publicize research information directly on webpages linked to research groups.</p>	<p>4. Strengthen internal capacity for research dissemination, increased visibility and strategic positioning for research groups internationally as well as for copyediting</p>
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10. Non discrimination		
<p>Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals

<p>+/-</p>	<p>USN is considered to almost, but not fully fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>Non-discrimination is well safeguarded by Norwegian national legislation. While the Working Environment Act in general prohibits all forms of discrimination and harassment, the Equality and Anti-Discrimination Act which entered into force in January 2018 (replacing and co-coordinating three previous anti-discrimination laws) specifically addresses these issues. The Equality and Anti-Discrimination Ombud Act regulates the process for handling of allegations of discrimination.</p> <p>The USN adheres to the Inclusive Workplace initiative (IA-Agreement) which commits the institution to work actively against discrimination. USN's values are stated in the Personnel Policy Guidelines for USN.</p> <p>In addition, the USN has established its own Gender Equality and Inclusion Committee which mandate is to contribute to equal opportunities for employees and students regardless of gender and ethnicity, functional ability, sexual orientation, age and religion.</p> <p>The committee has developed USN's Action Plan for Gender Equality and Inclusion for the period 2017 - 2021.</p> <p>In 2018 USN established a portal on its intranet where employees and students may confidentially report discrimination, harassment and misconduct, which subsequently will be dealt with in accordance with procedural rules by the Personnel and Organisational Department.</p> <p>Despite formally fully implemented through regulations, "hidden" discrimination remains a challenge and continuous awareness raising is thus still relevant.</p> <p>Although English is seamlessly used in research and academic work, language barriers is sometimes still a challenge socially as employees recruited from abroad may not speak, or need time to learn, written and spoken Norwegian, while some ethnic Norwegian employees, especially the older generation, still have a poor level of English language skills.</p>	<p>Initiatives undertaken</p> <ol style="list-style-type: none"> 1. Implementation of the 'Action Plan for Gender Equality and Inclusion for the period 2017 - 2021' <p>New proposals</p> <ol style="list-style-type: none"> 1. Language courses in Norwegian made available 2. Language courses in academic English made available 3. Online information and documents still only in Norwegian to be translated into English language versions
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	<p>In June 2019, USN launched a new annual initiative, International Staff Week, which gathered around 60 Erasmus+ participants from around 30 partner universities, establishing a meeting point for international researchers at USN.</p>	
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11. Evaluation / appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost, but not fully fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to develop the institution's practice in this area through measures in the Action Plan.</p> <p>As stipulated in the Regulations concerning appointment and promotion to teaching and research posts, assessment of the individual researcher's overall research performance, including all publications, experience and results, is done either when the researcher applies for a position or if an already employed researcher apply for promotion to Associate Professor or Professor. On these occasions universities are obliged to arrange a transparent assessment process done by an independent expert committee.</p> <p>At USN, researchers are receiving general feedback on their work performance through annual appraisal-interviews with their respective line managers. These appraisals are documented and conducted as approximately two hour long structured conversations which addresses the recent researchers achievements, time and resource allocations for research projects the following year as well as career prospects.</p>	<p>New proposals:</p> <ol style="list-style-type: none"> 1. Develop new template for appraisal interview for researchers (currently both administrative and research staff both use a generic template), which will be accompanied by an individual long-term career development plan. <p>The templates for appraisal interviews should ensure that not only the formal line manager, but also the mentor and/or leader of the</p>

	<p>However, during Charter and Code workshops USN researchers recommended that the appraisal system should to a higher degree focus on career progression, be tailored for researchers and involve not only line managers and the respective researcher, but also research group leaders and mentors.</p>	<p>respective researchers' research group should be invited to contribute in the career planning part of the appraisal process</p>
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Recruitment and selection

12. Recruitment		
<p>Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>In general, the Regulations concerning appointment and promotion to teaching and research posts establishes general criteria for employment in teaching and research positions. The entry and admission standards for intake of researchers, especially in the early stages of their careers are regulated in the Regulations on Employment of post-doctoral research fellow, research fellow, assistant lecturer, research assistant and resident set out by the Norwegian Ministry of Education and Research.</p>	

	<p>The Personnel Handbook for State Employees contains general recruitment guidelines for the USN as public university.</p> <p>The USN has created its own regulations and procedures for the recruitment process supplementing national standards:</p> <ul style="list-style-type: none"> - The Regulations for the philosophiae doctor (phd) degree at the University of South-Eastern Norway, are USN's regulations for the PhD degree. - Guidelines for the appointment of fellows and postdoctoral fellows at the University of Southeast Norway - USN intranet portal for recruitment (https://my.usn.no/recruitment-and-hireing/category33466.html) shows templates for announcements with standardized admission criteria - Action Plan for Gender Equality and Inclusion for the period 2017 - 2021. <p>Personnel Regulations for USN addresses appointments to both scientific posts and academic/administrative management positions, and regulates in detail the complete process for announcement, expert assessment, recommendation and employment in accordance with the OTM-R objectives and the Code of Conduct for the Recruitment of Researchers. The qualification principle guides the selection process and the academic background of all applicant is subject to expert assessment by an appointed committee. The suitability for the position is decided through interviews, trial lecture and collection of references. In this process work experience from outside of academia is valued for applicants returning to a research career.</p> <p>Job advertisements explicitly take into account the needs of disadvantaged groups and encourages candidates returning to a research career to apply for positions.</p>	
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13. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost, but not fully fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>The Civil Servants' Act applies to recruitment procedures and The Personnel Handbook for State Employees regulates employment in state positions.</p> <p>Personnel Regulations for USN and accompanying procedures, streamlines the recruitment process in order to making it transparent and open, as well as predictable for applicants.</p> <p>All job advertisements are approved by the university's appointment board prior to publishing, and applicants, as well as the public, have access to information concerning the recruitment process.</p> <p>Advertisements provide an accurate description of qualifications required for the position according to USN's templates and are published broadly according to national guidelines. After joining the EURAXESS in 2018 an increasing number of research positions are now also advertised on the EURAXESS website (Exemptions are positions requiring i.e. specific knowledge of the Norwegian educational system or language).</p> <p>Employee representatives are members of the appointment board and participates in the recruitment process (interviews, trial lectures, etc.).</p>	<p>New Proposals:</p> <ol style="list-style-type: none"> 1. Revise templates for job announcements that describes career prospects and recognises mobility experience as a qualifying merit 2. Revise interview guidelines emphasizing opportunities for professional development and career development prospects as well as time allocations for research in the position 3. Further develop web page in English explaining the recruitment and selection process as well as highlight the OTM-R objectives embedded in the Personnel Policy Guidelines 4. Further improve the communication with and

	<p>Description of career development prospects in the advertisements is an area of improvement at USN. Although career paths follow national regulations, career development is not currently described in advertisements, but is usually discussed during interviews.</p> <p>Academic recruitment is unfortunately often a lengthy process. This is both a necessity and a challenge and difficult to remedy. Expert committee evaluation of candidates' professional merits takes time, so there is a risks that qualified candidates may withdraw their candidature during the process.</p>	<p>information flow to applicants during the recruitment process</p>
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14. Selection (Code)		
<p>Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost, but not fully fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>The composition of expert evaluation committees for evaluations of applicants to research positions is regulated in the The Universities and University Colleges Act Section 6-3.</p> <p>In line with the Personnel Regulations for USN, all applicants to academic positions are part of a twofold process.</p>	<p>New proposals</p> <ol style="list-style-type: none"> 1. Develop e-learning program, accompanied with seminars, for managers in recruitment and selection (including online interviews).

	<p>Firstly, the academic background of all applicants is subject to an expert assessment by an appointed committee. National regulations regulate the composition of the committee, hereunder number of members, gender balance, competence, relevant experience, nationality and position/employment.</p> <p>Secondly, the selection process always involves interviews, trial lectures and collection of references.</p> <p>Supplementing national regulation, USN has internal procedures concerning the expert committee's work and reports. USN has also internal guidelines stipulating the composition of interview panels, selection- and employment committees. All managers which have been delegated the authority to employ personnel receive adequate training and support with regards to the selection process.</p> <p>For PhD. and post-doc. positions, the process is regulated through the Regulations on Employment of post-doctoral research fellow, research fellow, assistant lecturer, research assistant and resident, and subject to assessment and selection in line with Guidelines for the appointment of fellows and postdoctoral fellows at the University of Southeast Norway</p> <p>Within rather narrow academic fields there may sometimes be challenges in order to fulfil the gender requirements for expert committees.</p> <p>As scientific managers are in the position for 4 years fixed terms, it is a continuous task to ensuring that all managers have sufficient knowledge of established regulations and procedures in the recruitment process.</p>	
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15. Transparency (Code)		
<p>Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals

+/-	<p>USN is considered to almost, but not fully fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>Transparency is a fundamental principle in Norwegian public administration and the society as a whole. This area is thus considered well safeguarded nationally as well as institutionally.</p> <p>Transparency and applicants' access to information concerning the recruitment and selection process is regulated in Public Administration Act and Act relating to the right of access to documents held by public authorities and public undertakings.</p> <p>USN Personnel Regulations ensure that information concerning the recruitment process, selection criteria as well as number of available positions are listed in announcements for positions.</p> <p>Applicants receive the report from the external expert committee assessing the formal strengths and weaknesses of their application.</p> <p>Prospects for career developments are usually discussed during interviews. However, a more holistic system for career development at USN, which would be an vital improvement in itself, would enable the USN to more specifically describe career opportunities also in the job announcements.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Development of a web page with information in English about the recruitment process including the selection criteria <p>New proposals:</p> <ol style="list-style-type: none"> 1. Further develop the webpages in order to make it more user-friendly and also to highlight the OTM-R objectives 2. As listed under principle 13, career development prospects should be included in revised templates and guidelines for announcements and interviews
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<p>16. Judging merit (Code)</p>
<p>The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.</p>

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>In Norway, appointment and promotion to teaching and research posts is regulated by the 'Civil Service Act', the 'University and University College Act'. The USN has signed The San Francisco Declaration on Research Assessment ('Dora agreement') committing to a balanced evaluation of candidates based on a wide range of criteria.</p> <p>In line with USN Personnel Regulations, the Expert Committee assessing applicants decides whether and to what extent they fulfil the academic criteria for the position. Based on the Committee recommendation, the qualified candidates are invited for interviews and trial lectures. During the interview, the wider range of qualification criteria are evaluated in accordance with internal interview and selection guidelines and templates. USN appoints the most qualified candidate based on education, experience and personal suitability in accordance to the principal of qualification (Civil Servants Act § 3).</p> <p>In order to facilitate knowledge transfer and joint projects USN has a strong focus on collaboration with the local, regional, and national industry and business sector. USN therefore actively seek to hire experts from regional industry who will work with research, development and innovation (R&D) at our institution. A recent successful example of this collaboration is the establishment of a number (12) of part-time (20%) "R&D-expert" positions dedicated for researchers and innovators employed in the industrial sector, enabling them to also work at USN alongside, generating synergies.</p>	

17. Variations in the chronological order of CVs (Code)
<p>Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.</p>

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>USN is subject to the Regulation concerning appointment and promotion to teaching and research posts, and part of the national Inclusive Working Life initiative (IA-Agreement) which safeguards fair consideration of all applicants irrespective of career breaks.</p> <p>Rather than penalizing this, USN is part a national effort specifically targeting such applicants with an explicit goal of ensuring that minimum 5% of all new employments do have career breaks or variations in the chronological order of CVs, enabling multidimensional career tracks.</p>	

18. Recognition of mobility experience (Code)		
<p>Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost, but not fully fulfil this principle through institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>Internationalisation and researchers mobility is at the top of the agenda in the USN Strategy 2017-2021 as well as in the underlying Internationalisation and EU strategy.</p>	<p>New proposals:</p> <ol style="list-style-type: none"> 1. Recognition of mobility experience, both between universities nationally and internationally as well as inter-sectorial and interdisciplinary should be more explicitly recognised in the recruitment process, from job announcement to interview guidelines and selection criteria , as well as in the guidelines for appraisal

	<p>In practice, relevant mobility experience is recognized as qualifying merits at USN, but the strategic ambitions of the institution needs to be accompanied by formal schemes for more systematically acknowledging mobility.</p>	<p>interviews and for career development plans (see proposals under principle 11 and 28)</p>
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19. Recognition of qualifications (Code)		
<p>Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>As described under principle no. 12 - 16 above, assessment and evaluation of applicants' academic and professional qualifications are well regulated under national legislation and supplementary internal guidelines.</p> <p>The University and University College Act regulates the employment process for research positions and the Civil Servants' Act contains the eligibility principle that the best-qualified applicant should be appointed, following an assessment of education, experience and personal suitability, compared with the requirement described in the announcement.</p> <p>In Norway, recognition and accreditation of foreign higher education is conducted by NOKUT (the Norwegian Agency for Quality Assurance in Education) which is an independent expert body under the Ministry of Education and Research.</p>	

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20. Seniority (Code)

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
++	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>The recruitment process at a Norwegian state-owned university is in line with OTM-R principles and thoroughly regulated through Appointment and promotion to teaching and research posts, and the Employment of post-doctoral research fellow, research fellow, research assistant and resident.</p> <p>The Working Environment Act stipulates that discrimination due to age is prohibited.</p> <p>This is also the case in terms of lifelong professional development which for instance is addressed through the national Inclusive Workplace initiative (IA-Agreement).</p>	

21. Postdoctoral appointments (Code)

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time

spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>This area is addressed through Regulations on Employment of post-doctoral research fellow, research fellow, assistant lecturer, research assistant and resident set out by the Ministry of Education and Research.</p> <p>In addition, the USN has internal regulations for employment of PhD and postdoctoral candidates; Guidelines for the appointment of fellows and postdoctoral fellows at the University of Southeast Norway, supplementing the USN Personnel Regulations.</p>	

Working conditions and social security

22. Recognition of the profession		
<p>All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals

++	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>The Universities and University Colleges Act Section 1-5, safeguards the professional recognitions of researchers through the regulation of freedom and responsibilities for researchers</p> <p>Researchers are employed in temporary positions according to the Regulations on Employment Conditions for PhD Candidates and Postdoc. The PhD Candidates and Postdocs are recognized as academic resources and USN deals with quota PhD Candidates on the same basis as other scholars.</p>	
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23. Research environment		
<p>Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>In Norway, Health, Safety and Environmental (HSE) issues at the working place is thoroughly regulated by the comprehensive Working Environment Act which quite detailed specifies the standards for working conditions and responsibilities for both employees and the employer</p> <p>USN has its own HSE system and has established Working environment committees (AMU) both at institutional level and at all campuses in order to address an safeguard good working environments for all employees.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Implementation of an existing initiative by the USN Rector, focusing on enhancing administrative support, systems and workflow related to grant and commission funded R&D activities <p>New proposals:</p> <ol style="list-style-type: none"> 2. As part of USN quality system and a means of enhancing the

	<p>Allocation of resources to researchers is done adequately bases on the agreed work program, which is agreed in appraisal interviews and followed up in the Workplan IT tool.</p> <p>The USN has established a range of research centres, laboratories and other research facilities in order to ensure robust and stimulating research environments.</p> <p>In order to further stimulate the research environments and support the research projects, USN researchers has suggested measures to ensure high quality in the administrative services for research project.</p>	<p>administrative support to research projects, these services should be evaluated by the responsible research project leader as follow up after research projects, contributing to improvement plans for the administrative services</p>
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24. Working conditions		
<p>Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost fulfil this principle through compliance with national legislation, institutional regulations and practices. It still is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>In general, the Working Environment Act safeguards a healthy and meaningful working situation for all employees, full safety from harmful physical and mental influences, and commands a standard of welfare at the working place which at all times is consistent with the level of technological and social development of society.</p> <p>More specifically it addresses the rights of disabled job applicants and employees and the corresponding obligations for the employer (§ 4-6), ensuring that for instance disabled researchers are given special</p>	<p>New proposals:</p> <ol style="list-style-type: none"> 1. Revise personnel policy guidelines so include measures on sabbatical leave <p>Pls. see further actions related to working conditions under principle 28. Career development</p>

	<p>adaptation of the work or working hours, alteration of work equipment, work-oriented measures or the like.</p> <p>Issues related to employees' working conditions are addressed in the Personnel Policy Guidelines for USN and Personnel Regulations for USN.</p> <p>The USN adheres to the Inclusive Workplace initiative (IA-Agreement) which is a voluntary endorsement and commitment to high standards within the working environment. Subsequently, the Personnel Policy Guidelines for USN has a life-phase perspective and ensures a high degree of flexibility in terms of working from home if necessary, through digital platforms (i.e. Skype and Teams), part-time in periods etc. enabling researchers of both sexes to combine family obligations with career development.</p> <p>Application writing and operation of projects are time-consuming and are mainly performed by the researchers themselves. However, larger national and international pre-award and post-award processes needs administrative support to integrate areas such as dissemination, impact, research ethics and research data as required in the projects. To meet the need for more and higher quality funded projects at USN through better support to researchers, the services of the research support unit for USN's grant and commission funded R&D activities will be further (increased) and developed.</p>	
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<p>25. Stability and performance of employment</p>
<p>Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.</p>

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>National legislation applicable to the USN, notably the Civil Servants' Act and the Working Environment Act essentially safeguards the employments conditions for researchers.</p> <p>The standard rule is that government employees must be hired in permanent positions. Agreement on temporary employment can still be entered into;</p> <ul style="list-style-type: none"> a) when the work is temporary b) for work instead of another (substitute) c) for practice work d) for educational positions (PhD), or e) for a period of up to six months when an unforeseen need has arisen. <p>At USN, employment based on these exceptions is discussed twice annually with union representatives in order to keep temporary employment at a minimum.</p> <p>However, some temporary employment is unavoidable as instability in project funding may make employers reluctant to offer permanent positions.</p> <p>Not counting educational positions (PhD), post. docs. and management positions (Deans and Heads of Department are employed on 4 years fixed terms contracts) the national level of temporary employment is steady at around 18 %. At USN the level is at approx. 14%</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Continuous focus on systematically, through HR assistance and recruitment planning, to decrease the use of temporary contracts. Each Faculty has been assigned a dedicated HR advisor in order to follow up on this as well as ensuring high quality in recruitment and personnel management.

26. Funding and salaries
<p>Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing</p>

national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices. It still is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>As a public institution, the USN complies with national laws which regulates salaries at all career stages for researchers. This also applies for social security provisions which is thoroughly regulated and at a high level compared internationally.</p> <p>The Basic Collective Agreement for the Civil Service comprises agreements between the government and employees' organisations on pay and working conditions for civil service employees</p> <p>The Norwegian National Insurance Act provides financial security by securing income and compensating for special expenses in the case of unemployment, maternity, illness, injury and disability, etc.</p> <p>The Norwegian Public Service Pension Fund handles public occupational pensions.</p> <p>To supplement national legislation the USN has developed and implemented its own Local Salary Policy for the University of South-Eastern Norway which was adopted in 2016. The parties agree that the local salary policy shall be subject to development over time via collaboration between the university's management and the public-sector unions.</p> <p>The salary policy is based on the principles of equal treatment and openness. The assessment criteria used as the basis for the determination of salaries and developments in salary shall help to ensure predictability and equal treatment in the practical handling of questions regarding pay. At the same time, the salary policy shall ensure that there is a connection between salary, responsibilities, competence, effort, performance and career development.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. A self-service portal (at national level) in English is in process, making it easier to understand the pay slip, travel expenses and other refunds from USN.

	<p>All relevant information is available in English and foreign employees also receive an information letter from USN, together with the employment-contract, providing all necessary information and explaining the Norwegian salary system and the USN policies and practices.</p> <p>However, not all national laws are currently available in English translation, and therefore it may be difficult for foreign employees to navigate and understand the Norwegian labour system.</p> <p>It may also be challenging to receive necessary information about social security affiliation from the foreign employee early in the recruiting-process and align for example pension rights.</p>	
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27. Gender balance		
<p>Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>In general, gender equality is considered natural and obvious in Norwegian society. The national Equality and Anti-Discrimination Act promotes equal status, equal opportunities and equal rights, prohibits discrimination of any kind, and has the particular objective of safeguarding the working conditions and career opportunities of women and minorities.</p> <p>However, archaic and 'hidden' gender-inequality may still linger in parts of society and public life. The USN therefore has a proactive Gender Equality and Inclusion Committee which meets four times annually. The committee highlights equal opportunities and gender equality in general. It ensures that these issues are taken into account throughout the institution, and especially in recruitment processes, salary-negotiations and concerning career opportunities.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Implementation of the Action Plan for Gender Equality and Inclusion for the period 2017 - 2021

	<p>The committee has crafted the Action Plan for Gender Equality and Inclusion for the period 2017 - 2021 which goal is to ensure gender balance at all levels in the organisation, especially in top level management and in professor positions where females still are underrepresented.</p>	
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28. Career development		
<p>Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
-/+	<p>USN is considered to partly fulfil this principle through compliance with national legislation, institutional regulations and practices. It is a goal to develop the institution's practice in this area through measures in the Action Plan.</p> <p>At Norwegian higher learning institutions there are two career development paths for academic staff: to qualify to Associate Professor either through a PhD program, or without writing a doctoral thesis, but with substantial publication and contributions to the development of the profession. While the further career path for the former, and most common, will be to qualify to Professor, the latter will be able to qualify to Docent (Senior lecturer, immediately below professorial rank).</p> <p>The USN has developed and implemented an Associate Professor Qualification Programme and a Qualification Program for Promotion to Top Position (Professor) which is available for all research staff.</p> <p>Promotion is regulated by the national Regulations concerning appointment and promotion to teaching and research posts and USN's Guidelines for Assessing Promotion to the Position of Associate professor</p>	<p>New proposals:</p> <ol style="list-style-type: none"> 1. Develop USN career policy for researchers, including mobility opportunities and arrangements for sabbatical leave 2. Develop template for individual career development plans, to be established at appointment and followed up at annually appraisal interviews. The template shall include mobility prospects and have a long-

	<p>Career development for USN researchers is discussed in the annual appraisal interviews and reflected in the individual researcher's Work Plan (which indicates time and resource allocation to research activities, project participation, affiliation in research groups, teaching activities etc).</p> <p>USN has focus on using EU programs such as Marie Skłodowska Curie and ERC in Horizon 2020 to strengthen the career of young researchers and as well as to further strengthen research capacity in areas where USN are competitive internationally.</p> <p>However, at present USN has not implemented good enough strategies and support for mobilisation to benefit from these tools as intended in career development. The USN has neither a specific career development strategy for researchers, nor individual career development plans. Existing career development opportunities could be better coordinated in order to help researchers plan and structure their career. Also, researchers at all stages of their careers, but especially those in early stages would benefit from mentoring by senior researchers in their research group. Finally, as elaborated under principle 13; career development opportunities should be communicated more systematically during recruitment processes.</p> <p>The strengthening of the systems for researchers' career development is a key improvement area for USN in the initial implementation phase.</p>	<p>term perspective, for instance 3, 5 and 10 years</p> <ol style="list-style-type: none"> 3. Conduct pilot project whether to utilize a career progression IT – tool. 4. Establishing of a webpages for research career information on intranet 5. Establish career advice service for USN researchers 6. Explore how USN can facilitate dual – careers 7. Conduct an internal assessment of needs concerning working conditions and career development aspects for early stage researchers 8. Establish a research career program for ERC and MSCA candidates. 9. Acknowledging that the research groups ideally should function as a professional “home” for researchers, especially for those early in
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		<p>their career, as well as a social network for newly appointed researchers, especially from abroad, these groups should have clear mandates, structures and adequate administrative support</p> <p>10. USN should ensure procedures in place for ensuring that all researchers, especially those early in their careers, has access to a senior researcher as mentor, either internally or external / international</p> <p>Pls. see measures under principle 33 Teaching for measures relevant to researchers career (revision of policy for time allocation to research and teaching)</p>
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29. Value of mobility
<p>Employers and/or funders must recognise the value of geographical, inter-sectoral, inter- and transdisciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.</p>

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
-/+	<p>USN is considered to partly fulfil this principle through institutional regulations and practices. It is a goal to develop the institution's practice in this area through measures in the Action Plan.</p> <p>At the top management level of the USN, mobility is recognized as highly valuable for the organisation and an explicit goal in the USN Strategy 2017-2021, the Strategy for Research and Academic Development Work 2017-2021 as well as in the underlying Internationalisation and EU strategy.</p> <p>These strategies emphasize that "research with an international profile yields added value in the form of increased quality and relevance. A global perspective provides opportunities for collaboration with the best and for obtaining new ideas and inspiration" thus recognizing the value of mobility for researchers and PhD candidates and explicitly commits the USN to facilitating research mobility.</p> <p>However, the ambitions in the strategies are not yet sufficiently implemented through concrete measures.</p> <p>During the work with the GAP analysis and Action Plan USN researchers has signaled that there is insufficient financing at institutional level made available for encouraging increased mobilisation to prioritized institutions. Furthermore, USN researchers has pointed to the fact that there is not sufficiently coordinated practical assistance available for foreign researchers coming to USN or for resident researchers aspiring to conduct research abroad. Hence, USN should strengthen the administrative capacity and competence to reduce barriers and administrative burdens for both outgoing and incoming researchers.</p> <p>As mentioned under principle no. 28 above, the USN in general needs to improve on systematic career development planning. This existing lack of career development system also affects the formal recognition of the value of mobility through assistance, incentives and support.</p>	<p>New proposals:</p> <ol style="list-style-type: none"> 1. USN should establish uniform practice for financing of research mobility at an institutional level, ensuring predictability and equal opportunities for all researchers 2. Establishment of 'USN Staff Mobility Team'. The team shall ensure competent support for both foreign researchers being recruited to USN or visiting researchers, as well as resident researchers going abroad for research, including advice for bringing accompanying spouse/family 3. Establishment of a webpages for information and support concerning mobility at USN Intranet and web pages. 4. Ensure that more available positions are announces at the EURAXESS portal 5. Establish arrangements and support for finding accommodation for visiting researchers and foreign employees 6. Make available dedicated office facilities for visiting researchers 7. Evaluate utilizing the pension solution Resaver

	The strengthening of the systems for valuing research mobility is a key improvement area for USN in the initial implementation phase.	8. Implemented common guidelines and rules for funding PhD candidate mobility at the faculties
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30. Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
-/+	<p>USN is considered to partly fulfil this principle through institutional regulations and practices. It is a goal to develop the institution's practice in this area through measures in the Action Plan.</p> <p>USN does not currently have a system for career advice for academic staff. USN's scheme for annual appraisal interviews is meant to be a key tool for counselling and development. However, as mentioned under principle 11, the template in use is generic and there is a need to develop a template specified for researchers which emphasizes career progression and mobility and is accompanied by a career development plan (see proposals under principle 11 and 28) which also involves mentors/research group leaders.</p> <p>The fact that most PhD students may not be able to obtain a position within academia and may thus have to reorient their career plans, indicates that the USN should establish career advice services for especially researchers at early stages of their career.</p> <p>There is also a need for USN researchers to get career planning advice, for instance concerning and internationally as well as inter-sectorial and interdisciplinary mobility.</p>	<p>New proposals:</p> <ol style="list-style-type: none"> 1. Establishing of a career portal on intranet 2. Make professional career advice and counselling available for USN researchers 3. Conduct an internal assessment of needs concerning career advice for PhD students and researchers in early stages of their careers

31. Intellectual property rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.

Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil the principle through compliance with national legislation, institutional regulations and practices.</p> <p>The ownership of intellectual property rights is regulated by the Act respecting the right to employees' inventions and USNs IPR-Policy. The Patent act and supplementary Regulation to the Patents Act regulates the right to patent protection of inventions. The Intellectual property Act safeguards copyright to text, sound, image, including quotation.</p> <p>Concerning research data and results, researchers at USN are imposed to follow Guidelines for the management of research data at University of South-Eastern Norway, Guidelines for management of audio recordings in research at USN and Open Access Policy as well as the GDPR regulations.</p> <p>At the USN, the Technology Transfer Office (TTO) function is handled by the Department for Research and Innovation in collaboration with regional providers of commercialisation services.</p> <p>Research data from USN is published in accordance with USN's Open Access policy which stipulates that research-data should be "as open as possible, as closed as necessary". The USN Research Data Archive is the institution's archive where research data is stored, made visible and accessible. The individual researcher may apply the necessary licenses and if necessary put access restrictions on the research data. The USN actively cooperates with Norwegian Centre for Research Data (NSD) and Sensitive Data Services (TSD) Services</p>	

32. Co-authorship		
<p>Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>USN is in compliance with national laws and national regulations in this area, which in turn is in accordance with the Vancouver regulations.</p>	

33. Teaching		
<p>Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost, but not fully fulfil this principle through compliance with national legislation , institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. USN has recently developed a system for rewarding high excellence in teaching, which is

<p>Teaching duties are regulated in the Regulations on Employment of post-doctoral research fellow, research fellow, assistant lecturer, research assistant and resident set out by the Norwegian Ministry of Education and Research.</p> <p>This legislation regulating teaching activities for researchers has recently been revised and enters into force September 2019. The revised regulations enhances the focus on safeguarding high quality in teaching and coaching activities at universities and imposes institutions to development internal training programs.</p> <p>For instance, for a researcher to be promoted to Professor, he or she will (in addition to research results) have to document:</p> <ul style="list-style-type: none"> - Qualitative development in own teaching and supervision over time - Broad experience with supervision, preferably at the master / PhD level - Participation in the development of educational quality in their academic community <p>The balance between teaching obligations and research activities at USN is regulated in the Principles for Work Planning at USN policy and reflected in the individual researchers digital Work Plan - tool, which is agreed twice annually between employer and employee. Time and resources for research activities are granted the individual researcher based on application. Average time allocated for research activities for Associate Professors at USN up to 30%, while Professors may be granted up to 50% time for research.</p> <p>The USN encourages researchers to attend courses / conferences that stimulate to increase their skills. Likewise, USN has initiated a supervisor course for professors and associate professors to increase their supervisor skills towards PhD students.</p> <p>The USN's regulations states the need for people who have a PhD degree to pass a formalized pedagogic training programs focuses on teaching and coaching to be approved as associate professor. In the same way, it is proposed that professors will continue develop educational competences.</p> <p>USN is currently collaborating with Oslo Metropolitan University in order to develop a rewarding mechanism for acknowledging and rewarding excellence in teaching and coaching. The mechanism has a distinct focus on teamwork, cooperation, sharing of experience and competence raising among</p>	<p>currently under implementation.</p> <p>New proposals:</p> <ol style="list-style-type: none"> 1. Revise existing policies and practices for time allocation addressing the following aspects: <ul style="list-style-type: none"> ▪ USN should consider distinguishing more clearly between research positions and lecturing positions at all stages from recruitment to appraisal interviews and career plans, while equally valuing and rewarding both career paths ▪ Develop a more uniform institutional system for time allocation for research and teaching ▪ Rather that researchers having to apply annually for time allocation to conduct research, this should be a fixed, predictable portion of research positions ▪ In order to reflect USN's strategic ambitions, the level of
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	<p>colleagues, and will more systematically value time devoted by senior researchers in training of early stage researchers.</p> <p>Still, balancing the need for teaching and the desire to conduct research remains a challenge. At discussions and group work during the HRS4R workshops USN researchers have signalled a lack of sufficient time allocations for research and too many teaching obligations as obstacles for their career development.</p> <p>There is also various practices at the different faculties concerning time allocation to research activities. There is thus a need for establishing a more uniform practice which also clearly stipulates how the various R&D activities are accounted for.</p>	<p>time allocation for R&D activities in research position should be considered increased and structured on a more long-term basis (for instance 40-50 % for 3-5 year periods).</p>
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34. Complaints / appeals		
<p>Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsmantype) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through compliance with national legislation, institutional regulations and practices.</p> <p>In line with national legislation, notably the Working Environment Act, the USN has developed its own Reporting of censurable condition procedures for dealing with complaints from researchers, including conflicts at the workplace, whether between researchers or between researchers and supervisors / the employer.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> Existing training programs for supervisors / managers in conflict management should continue and be further expanded to be include supervisors

	<p>The system, which is quite comprehensive, has been developed together with the internal and impartial Safety representatives (on person for each of the 8 campuses) and the labour union representatives. It enables staff to formally file complaints (if necessary anonymously), get independent advice and coaching from external occupational health company serving USN employees directly, and finally get assistance from Department of Personnel and Organisation in conflict-prevention and - management when necessary. At the core of the system is a portal on the USN intranet (also available on the Internet) for different types of complaints reaching from technical- practical, working environment issues to allegations of various types of harassment of discrimination.</p> <p>All USN managers receive training in professional handling of complaints and work-related conflicts, as well as direct support from Department of Personnel and Organisation.</p>	<p>2. USN has established a new position as Senior Advisor for psycho-social working environment and conflict management</p>
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35. Participation in decision-making bodies		
<p>Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered fulfil this principle through institutional regulations and practices.</p> <p>A distinct feature of the Norwegian society is the tripartite collaboration between the main actors in the working life, notably the employers' and the employees' organisations and the government. This collaboration has evolved since the 1930s, is based on transparent collective negotiations and is fundamental for regulating the Norwegian labour market. The formalized agreement between the parties which is considered the "constitution" of the working life has a fundamental focus on deliberation among the concerned parties, thus safeguarding the involvement all stakeholders.</p> <p>Based on this model, similar subordinate agreements and collaborations has been established in most sectors. As a public university USN is regulated by the Main Agreement in the Public Sector (chapter 8 in</p>	

	<p>The Personnel Handbook for State Employees) which stipulates which issues the employer can decide unilaterally and which issues that must be discussed or negotiated between employer and labour unions in meetings every second month. The agreement, which ensures employees' participation in decision-making bodies, safeguards researchers working environment and rights, contributes to transparency and employees' involvement in various processes, and generates ownership to the university's strategic ambitions.</p> <p>The Universities and University Colleges Act regulates the composition of the university's board of which four out of eleven representatives is to be elected among researchers.</p> <p>At USN, researchers participate in relevant bodies, among others the University Board, Working Environment Committee, the Learning Environment Committee and the Research Committee.</p>	
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Training and development

36. Relation with supervisors		
<p>i. Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.</p> <p>ii. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	USN is considered to fulfil this principle through institutional regulations and practices.	

	<p>According to USN's regulations for the degree of Philosophiae doctor (PhD), all PhD candidates must have at least two supervisors. The principal supervisor and the candidate are both responsible for ensuring that the candidate is in regular contact with their supervisors.</p> <p>The institution and supervisors shall together ensure that the PhD candidate participates in an active research environment, here, the research groups play an important role. All candidates shall be affiliated to a research group.</p> <p>In addition, all PhD programmes have one academic and one administrative coordinator who have regular contact with the candidates.</p> <p>All PhD candidates submit project plans with milestones, publishing plans, plans for coursework etc., and both candidate and principal supervisor report annually on the progress and status of the project. Any deviations and dissatisfaction are followed up with conversations.</p> <p>The researchers' and PhD candidates' research projects are followed up and discussed in regular meetings in the research groups. Each candidate also has a mandatory midway evaluation, which consists of a report and a presentation, evaluated by two examiners, of which at least one must be external. Written feedback is given to the PhD candidate and supervisors.</p>	
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37. Supervision and managerial duties		
<p>Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	USN is considered to fulfil this principle through institutional regulations and practices.	As mentioned under principle 28. Career development, USN should

	<p>The Regulations for the philosophiae doctor (PhD) degree at the University of South-Eastern Norway regulates supervision and relations between supervisor and early-stage researchers.</p> <p>The supervisory teams and research groups as well as the research centres are central in this work.</p> <p>The train-the-trainers Developing Doctoral Supervision (DDS) courses that has been offered to PhD supervisors annually since 2016, is highly important in emphasizing the role and responsibilities of PhD supervisors and has been highly appreciated among senior researchers. The goal of this program is to further professionalize the supervision and give both new and experienced supervisors tools and inspiration to do an even better job.</p> <p>However, we know that most of our early-stage researchers will end up working outside academia, and we need to include this fact into the career development of our candidates. As elaborated under principle 28; researchers holding a PhD, but still in the beginning of their career would benefit from mentoring in the research groups (se proposal under principle 28).</p>	<p>establish improved practices concerning mentoring within the resource groups.</p> <p>Pls. also see measure under principle 39 concerning research management training</p>
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38. Continuing professional development		
<p>Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.</p>		
Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+ / +	<p>USN is considered to fulfil this principle through institutional regulations and practices. See principle 39.</p>	

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39. Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/-	<p>USN is considered to almost, but not fully fulfil this principle through institutional regulations and practices. It is a goal to further develop the institution's practice in this area through measures in the Action Plan.</p> <p>In addition to the Associate Professor Qualification Programme and the Qualification Program for Promotion to Top Position (Professor) which is available for all research staff, the USN offers a variety of courses, workshops, conferences and webinars for academic staff. Some examples are the Developing Doctoral Supervision (DDS) courses for PhD supervisors, regular seminars on research ethics and media training.</p> <p>USN arranges several courses for researchers, research groups and institutes to increase their competence in research planning, partnership development, and writing proposals for national and international funding programs. There is however, a need for a more systemic approach to establish courses and targeted seminars at different levels to reach the goal of increased research activity for researchers themselves and the institution as a whole.</p> <p>Research groups and heads of departments have many responsibilities in a new, growing and modern university, and there will therefore always be challenges for them to both motivate and follow up individual researchers in both educational and research related activities. USN should therefore increase the strategic focus on competence building and experience sharing in research management.</p>	<p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. The USN library is currently developing course packages for early stage researchers, comprising everything from systematic literature search, to academic writing, the publication process and presentation technique. <p>New proposals:</p> <ol style="list-style-type: none"> 1. Develop and implement a Research management program for heads of department, leaders of research groups and research centre managers

	Concerning researchers' opportunities to improve their employability, it is considered that USN should implement measures in order to provide researchers with career counselling as elaborated under principle 30.	
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40. Supervision

i. Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly.

ii. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

Level of impl.	GAP / Implementation impediments	Initiatives undertaken / new proposals
+/+	<p>USN is considered to fulfil this principle through institutional regulations and practices.</p> <p>In accordance with the The Regulations for the philosophiae doctor (phd) degree at the University of South-Eastern Norway, all PhD candidates get a minimum of two supervisors when admitted to a PhD program. The principal supervisor has to be a PhD holder and an experienced researcher.</p> <p>The supervisory team is put together based on their combined expertise, and all USN supervisors get time in their work plans to supervise their candidates as well as comprehensive training in supervision through the Developing Doctoral Supervision (DDS) courses for PhD supervisors.</p> <p>In addition, the head of the department where the PhD candidates are employed is appointed as their immediate superior. All PhD programmes have one academic and one administrative coordinator who have regular contact with the candidates.</p> <p>The PhD education is formalized through the written agreement between the PhD candidate, the supervisors and the institution. The agreement regulates the parties' rights and obligations in the course</p>	Pls. see relevant measures under principle 28 Career Development regarding mentoring arrangements for all researchers

	of study and shall ensure that the candidate regularly participates in an active research environment, and arrange for the PhD education to be completed at the agreed time.	
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